

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) Finkle, Diane	2. Court or Organization United State Bankruptcy Court, District of Rhode Island	3. Date of Report 09/24/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Judge- Full Time	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2019 to 12/31/2019
5b. ☒ Amended Report		
7. Chambers or Office Address United States Bankruptcy Court 380 Westminster Street, 6th Floor Providence Rhode Island 02903		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions)

☐ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Trustee	Diane Finkle Revocable Trust Dated February 10, 1999, as amended (unfunded)
2. Trustee	Michael A. Ursillo 2007 Irrevocable Life Insurance Trust (unfunded)
3.	
4.	
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions)

☒ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.	
2.	
3.	

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions)***A. Filer's Non-Investment Income**NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1.		
2.		
3.		
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2019	Ursillo, Teitz & Ritch, Ltd- salary and employee benefits
2.	
3.	
4.	

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. American Bankruptcy Institute	July 11 to 14, 2019	Newport, RI	educational seminar and conference	registration fee, meals and parking
2. National Conference of Bankruptcy Judges	October 30 to November 1, 2019	Washington, D.C.	annual conference and education of bankruptcy judges	2 nights hotel reimbursement
3. National Conference of Bar Examiners	January 17-19, 2019	San Antonio, TX	annual conference of state board of bar examiners	2 nights hotel reimbursement
4.				
5.				

Name of Person Reporting	Date of Report
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V. GIFTS. (Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)

☒ NONE (No reportable gifts.)

	SOURCE	DESCRIPTION	VALUE
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. (Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)

☐ NONE (No reportable liabilities.)

	CREDITOR	DESCRIPTION	VALUE CODE
1.	Coastway Community Bank	Commercial Real Estate Mortgage	L
2.			
3.			
4.			
5.			

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Great West Lifetime Advan. IRA, Mod. Conserv. Profile II	E	Dividend	P1	T					
2. Ursillo, Teitz & Ritch Realty IV, Appraisal, October 2017	A	Dividend	M	Q					
3. First Eagle Gold Fund Class A, Mutual Fund		None	J	T					
4. HSA Bank, Account	A	Interest	K	T					
5. MFS Municipal Income Fund-A	D	Dividend	M	T					
6. Citizens Bank, Certificate Deposit	B	Interest	L	T	Buy	01/16/19	L		
7. UBS Pace Int'l Equity Investments Class P	C	Dividend	L	T					
8. Phoenix Big Edge Plus, Mutual Fund, Annuity	B	Dividend	K	T					
9. Bank Rhode Island, Account		None	J	T					
10. Hartford Select Dimensions Fund, (Annuity)	A	Dividend	K	T					
11. Phoenix Big Edge Plus, Mutual Fund, (Annuity)	B	Dividend	K	T					
12. Fidelity FA Freedom 2020 I, 401(K)/Profit Sharing Plan	E	Dividend	P1	T					
13. Citizens Bank- Certifctce of Deposit	B	Interest	L	T	Buy	01/16/19	L		
14. Ursillo, Teitz & Ritch Ltd. Appraisal 12/08/11		None	K	U					
15. American Express- Money Market Account	B	Interest	L	T	Redeemed (part)	01/16/19	L	B	
16. UBS Pace Int'l Emerging Markets Equity Investments Class P	C	Dividend	K	T					
17. UBS Pace Global Real Estate Securities Investments Class P	B	Dividend	J	T					

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

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18. UBS Pace Large Co Growth Equity Investments Class P	A	Dividend	L	T					
19. Grow ALPS ETF TR Alerian MLP EFT	B	Dividend	K	T					
20. BlackRock Floating Rate INC PRT Instl 1	A	Dividend			Sold	02/14/19	K	A	
21. First TR Value Line Index FD SHS	A	Dividend	K	T	Sold (part)	05/31/19	J	A	
22. Goldman Sachs Global Income Fund	C	Dividend	L	T					
23. Lord Abnett Short Duration Income Fund	B	Dividend	L	T					
24. IShares Trust- 1-3 Year Treasury Bond	A	Dividend	K	T	Buy	02/14/19	K		
25. Indexiq ETF TR IQ Hedge Multi-Strategy	A	Dividend			Sold	02/14/19	K	B	
26. Ishares TR Russell 2000 Value ETF	A	Dividend	K	T					
27. Power Shares Exchange Traded Fund TR II	A	Dividend	K	T					
28. SPDR Index SHS FDS S&P World Ex-US ETF	A	Dividend	J	T					
29. SPDR Portfolio Short Term Corp. Bond	B	Dividend	L	T	Buy (add'l)	02/14/19	K		
30.				T	Buy (add'l)	06/13/19	J		
31. Putnam Short Duration Income Cl Y	B	Dividend	L	T	Buy (add'l)	02/14/19	K		
32.				T	Buy (add'l)	06/13/19	J		
33. Vanguard FTSE Emergng Markets ETF (Equity)	A	Dividend	J	T	Sold (part)	05/31/19	J	A	
34. Schwab Strategic TR US Dividend Equity Fund	B	Dividend	K	T	Sold (part)	05/31/19	J	A	

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35. Wisdomtree TR Intl Large Cap Divid FD	B	Dividend	K	T	Sold (part)	05/31/19	J	A	
36. New York Community Bank, Money Market	A	Interest	K	T	Buy	02/28/19	K		
37. Wisdomtree TR Mid Cap Divid FD	A	Dividend	K	T	Sold (part)	05/31/19	J	A	
38. SPDR SER TR S&P Divd ETF	A	Dividend	K	T	Sold (part)	05/31/19	J	A	
39. Gateway Fund Class Y	A	Dividend	K	T					
40. UBS Pace Large Co. Value Equity Investments Class P	B	Dividend	L	T					
41. UBS Pace Small/Medium Co Growth Equity Investments Class P	B	Dividend	K	T					
42. UBS Pace Small/Medium Co Value Equity Investments Class P	B	Dividend	K	T					
43. UBS Pace Global Fixed Income Investments Fund Class P	B	Dividend	J	T					
44. UBS Pace High Yield Investments Class P	B	Dividend	J	T					
45. UBS Pace Intermediate Fixed Income Investments Class P	B	Dividend	J	T					
46. UBS Pace Mortgage-Backed Securities Fixed Income Investment Class P	B	Dividend	J	T					
47. UBS Pace Municipal Fixed Income Investments Class P	A	Dividend	L	T					
48. UBS Pace Strategic Fixed Income Investments Class P	A	Dividend	K	T					
49. Wells Fargo Intermediate Tax/AMTFREE Fund Class C	A	Dividend	L	T					
50. UBS Pace Government Money Market Investments Fund Class P	A	Int./Div.	J	T					
51. Fidelity Govt Cash Reserves	A	Dividend	J	T					

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
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NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
52. Morgan Stanley Private Bank, Certificate Deposit	A	Interest	M	T	Buy	08/27/19	M		
53. Morgan Stanley Bank of Salt Lake City Utah, Certificate of Deposit	C	Interest			Redeemed	08/27/19	M	C	
54. Capital One 360 Money Market Account	A	Dividend	K	T					
55. Capital One Certificate of Deposit	A	Interest	L	T					
56. SPDR Series Trust SPDR Bloomberg	A	Dividend	K	T	Buy	02/14/19	K		
57.				T	Buy (add'l)	06/03/19	J		
58. Virgina529 Account- Invest529, 2036 Portfolio		None	J	T	Buy	12/26/19	J		
59. Virgina529 Account- Invest529, 2033 Portfolio	A	Interest	J	T	Buy	01/02/19	J		
60. New York Community Bank, Certificate Deposit	A	Interest	K	T	Buy	02/28/19	K		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part I. Lines 2 and 3. These trusts have no assets.

Part VII. Lines 58 and 59. These are not self directed fund accounts.

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IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: **s/ Diane Finkle**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
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Washington, D.C. 20544